

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND EXCHANGE  
COMMISSION,

Plaintiff,

- against -

ALPINE SECURITIES CORPORATION,

Defendant.

**17-cv-4179-DLC**

**ECF CASE**

**DECLARATION OF ZACHARY T. CARLYLE**

I, Zachary T. Carlyle, do hereby declare under penalty of perjury, in accordance with 28 U.S.C. § 1746, that the following is true and correct, that I am over 18 years of age and I am competent to testify to the matters stated herein:

1. My name is Zachary T. Carlyle and I am a resident of the State of Colorado.
  2. I am an attorney that represents the Plaintiff United States Securities and Exchange Commission (“SEC”) in the above referenced enforcement action against Alpine Securities Corporation (“Alpine”).
  3. The SEC has submitted a set of exhibits with its Reply in Support of the SEC’s Motion for Remedies.
  4. Exhibit 1 is a true and correct copy transcript excerpts from the deposition of Christopher L. Frankel for Alpine Securities Corporation, on March 13, 2018.
  5. Exhibit 2 is a true and correct copy of [REDACTED]
- [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

6. Exhibit 3 is a true and correct copy of [REDACTED]

[REDACTED]

[REDACTED]

7. Exhibit 4 is a true and correct copy of an email exchange between counsel for the SEC and Alpine, with the last email dated March 8, 2018.

8. Exhibit 5 is a Declaration of Eric M. Turnbaugh.

9. Exhibit 6 is a true and correct copy of an email from counsel for the SEC to counsel for Alpine dated March 9, 2018, with an attachment.

10. Exhibit 7 is a true and correct copy of a March 16, 2018, email from counsel for the SEC to counsel for Alpine.

11. Exhibit 8 is a true and correct copy of a March 16, 2018, email from counsel for the SEC to counsel for Alpine.

I declare under the penalty of perjury that the foregoing is true and correct.

Dated: July 11, 2019

/s/ Zachary T. Carlyle  
Zachary T. Carlyle